

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner : Not Yet Assigned  
Group Art Unit : Not Yet Assigned  
Applicants ; Keisuke Kuida et al.,  
Serial No. : Not Yet Assigned  
Filed ; Herewith  
For : CASPASE-9 DEFICIENT ANIMALS AND THE USE  
THEREOF

Cambridge, Massachusetts  
December 1, 2000

Hon. Assistant Commissioner  
For patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§1.5.6 AND 1.97

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants, through their attorney, make of record the documents listed below (copies enclosed herewith). A completed Form PTO -1449 listing all the documents in alphabetical order is enclosed herewith in duplicate.

Non-Patented Literature Documents

LI Peng et al., "Cytochrom c and dATP-dependent formation of Apaf-1/caspase-9 complex initiates an apoptotic protease cascade", CELL, Vol. 91, No. 4, 14 November 1997, pages 479-489

DUAN H et al., "ICE-LAP6, a novel member of the ICE/Ced-3 gene family, is activated by the cytotoxic T cell protease granzyme B", JOURNAL OF BIOLOGICAL CHEMISTRY, Vol. 271, No. 28, 12 July 1996, pages 16720-16724

KUIDA Keisuke et al., "Decreased apoptosis in the brain and premature lethality in CPP32-deficient mice", NATURE, Vol. 384, No. 6607, 28 November 1996, Pages 368-372

KUIDA Keisuke et al., "Reduced apoptosis and cytochrom c-mediated caspase activation in mice lacking caspase 9", CELL, Vol. 94, No. 3, 7 August 1998, Pages 325-337

HAKEM Razqallah, et al., "Differential requirement for caspase 9 in apoptotic pathways in vivo" CELL, Vol. 94, No. 3, 7 August 1998, pages 339-352

SOENGAS M, et al., "Apaf-1 and caspase-9 in p53-dependent apoptosis and tumor inhibition", SCIENCE, Vol. 284, No. 5411, 2 April 1999, Pages 156-159

Foreign Patent Applications

<u>Applicant</u>	<u>Publication No.</u>	<u>Publication Date</u>
BASF	WO96/12025	April 25, 1996
Harvard Medical	WO98/06263	February 19, 1998

Applicants respectfully request that the above-cited documents be (1) fully considered by the Examiner during the course of the examination of this application and (2) printed on any patent issuing from this applications. Applicants also request that a copy of the enclosed Form PTO-1449 duly initialed by the Examiner be forwarded to the undersigned with the next communication.

The Commissioner is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 50-0725.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Andrew S. Marks", is written over a horizontal line.

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Please type a plus sign (+) inside this box → ☐

PTO/SB/08B (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	
		Filing Date	December 1, 2000
		First Named Inventor	Keisuke Kuida et al.,
		Group Art Unit	
		Examiner Name	
Sheet 2 of 2	Attorney Docket Number	VPI/98-104 CIP CON	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	B1	DUAN H. et al., "ICE-LAP6 a novel member of the ICE/Ced-3 gene family."; J. Bio. Chem; Vol. 6, No. 28; 7/12/96 Pgs 16720-16724	
	B2	HAKEM R. et al., "Differential requirement for caspase 9.." CELL; Vo. 94, No. 3; 8/7/98; PP 339-352	
	B3	KUIDA K. et al., "Reduced apoptosis and cytochrom c-mediated caspase.."; CELL, Vol. 9, No. 3, 8/7/98; PP 325-337	
	B4	KUIDA K. et al., "Decreased apoptosis in the brain and .." NATURE, Vol. 384, No. 6607; 11/28/96; PP 368-372	
	B5	LI Peng, et al., "Cytochrom c and dATP-dependent formation of .."; CELL, Vo. 91, No. 4.; 11/14/97; PP 479-489	
	B6	SOENGAS M., et al., "Apaf-1 and caspase-9 in p53 dependent ..."; SCIENCE, Vo. 284, No. 5411; 2/4/1999, PP 156-159.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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